

Element Performance Inspection (EPI) Data Collection Tool

7.1.3 Director of Safety (OP)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To provide a qualified individual with direct access to senior management to ensure the overall safety of the certificate holder's operations through the effective application of its safety program.

Objective (FAA oversight):

- To determine if an individual is serving in the capacity of the Director of Safety (or equivalent) full time who meets the certificate holder's qualifications for the position, performs those duties and responsibilities, and exercises the authority in a manner that ensures the highest degree of safety in the certificate holder's operations.

Specific Instructions:

- For information regarding the use of fewer, combined, or different categories of management positions, refer to FAA Order 8400.10, volume 3, chapter 1, section 3.

Related EPIs:

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SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 119.65(a)(1)
 - 119.65(b)
 - 119.65(c)
 - 119.65(d)(1)
 - 119.65(d)(2)
 - 119.65(d)(2)(i)
 - 119.65(d)(2)(ii)
 - 119.65(d)(2)(iii)
 - 119.65(d)(2)(iv)
 - 119.65(d)(2)(v)
 - 119.65(d)(3)
 - 119.65(e)(1)
 - 119.65(e)(2)
 - 119.65(e)(3)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(3)
 - A.006Management Personnel

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank

- FAA Policy/Guidance:
HBAT 99-19/HBAW 99-16 and HBAT 96-01

EPI SECTION 1 - PERFORMANCE OBSERVABLES

Objective: (FAA oversight responsibility): The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-4, when answered, should be directed at the process itself.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the policies, qualifications, duties, responsibilities, and the authority granted to the Director of Safety (or equivalent) contained in the certificate holder's manual.
3.	Interview the individual serving as the Director of Safety (or equivalent).

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	Is the Director of Safety (or equivalent) position currently occupied by the individual identified in operations specifications paragraph A006?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Does the Director of Safety (or equivalent) meet the qualifications as stated in the certificate holder's manual? <i>Related Performance JTIs:</i> 1. Check at the air carrier specified location that the duties, responsibilities, and authority specified in the manual reflect those currently assigned the DOS in accordance with the Certificate Holder's design. (Normally via an interview with the DOS and a review of the manual) <i>Sources:</i> 119.65(e)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Does the Director of Safety (or equivalent) satisfactorily fulfill the duties of the position, serving full time? <i>Related Performance JTIs:</i> 1. Check at the air carrier specified location that the duties, responsibilities, and authority specified in the manual reflect those currently assigned the DOS in accordance with the Certificate Holder's design. (Normally via an interview with the DOS and a review of the manual) <i>Sources:</i> 119.65(e)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Were the certificate holder's policies, contained in its manual for the Director of Safety (or equivalent), followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Director of Safety (or equivalent) controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Director of Safety (or equivalent) comply with the instructions provided in the certificate holder's manual?	<input type="checkbox"/> Yes

		<input type="checkbox"/> No, Explain
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EPI SECTION 1 - PERFORMANCE OBSERVABLES Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Objective: To determine if the person identified by the certificate holder as having responsibility and/or authority for the Director of Safety process is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)	
Tasks	
	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6, below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who performs the duties and responsibilities of the Director of Safety (or equivalent) position for the certificate holder.
2.	Identify the person who exercises the authority of the Director of Safety (or equivalent) position for the certificate holder.
3.	Review the duties and responsibilities of the person(s) documented in the certificate holder's manual.
4.	Evaluate the qualifications and work experience of the person(s) above (or resume, if appropriate).
5.	Review the appropriate organizational chart.
6.	Discuss the Director of Safety (or equivalent) position with the person(s) serving in that capacity.

Questions		
	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder have a clearly identifiable person performing the duties and responsibilities of the Director of Safety (or equivalent) position full time?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Does the certificate holder have a clearly identifiable person exercising the authority of the Director of Safety (or equivalent) position full time?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the individual serving as the certificate holder's full time Director of Safety (or equivalent) acknowledge the duties and responsibilities of this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the individual serving as the certificate holder's full time Director of Safety (or equivalent) acknowledge his/her duty to exercise the authority of this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.